CHAPTER XVII

AUTOMATED INFORMATION SYSTEM SECURITY

SECTION 1

POLICY STATEMENT

17-100 <u>POLICY</u>

CLASSIFIED INFORMATION SHALL BE PROCESSED ON ACCREDITED AUTOMATED **INFORMA**-TION SYSTEMS (AIS) ONLY .

a. THE DIRECTOR , PSD , SHALL BE THE DESIGNATED APPROVING AUTHORITY **(DAA)** THAT **ACCREDITS** AIS TO PROCESS CLASSIFIED INFORMATION.

b. **THE** OSD COMPONENT HEAD IS RESPONSIBLE FOR ENSURING SECURITY COMPLIANCE THROUGHOUT THE LIFE CYCLE OF AN AIS ,_ **FROM** CONCEPT THROUGH DESIGN, DEVELOPMENT, OPERATIONS , MAINTENANCE, AND DISPOSAL.

. BEFORE PROCURING AIS FOR CLASSIFIED PROCESSING, A MEMORANDUM REQUESTING ACCREDITATION SHALL BE FORWARDED TO DIRECTOR, PSD .

d. AIS SHALL BE ACCREDITED EVERY 3 YEARS.

SECTION 2

ESTABLISHMENT

17-200 <u>ACCREDITATION</u>

a. THE OSD COMPONENT HEAD SHALL SIGN THE MEMORANDUM REQUESTING **ACCREDIATA**-TION **OF** AIS PROCESSING **CLASSIFIED** INFORMATION. INCLUDE THE FOLLOWING INFORMATION IN THE REQUEST:

1. THE SUBJECT OF THIS MEMORANDUM SHALL BE: "REQUEST FOR AIS AND/OR TEMPEST EVALUATION : "

2. THE NAME AND TELEPHONE NUMBER OF **THE** PROJECT OFFICER COORDINATING THE EVALUATION .

3. THE MANUFACTURER , NOMENCLATURE, AND MODEL NUMBER OF EACH EQUIPMENT COMPONENT .

4. ESTIMATE THE AVERAGE AMOUNT OF HOURS PER WEEK OF EACH CATEGORY OF UNCLASSIFIED , CONFIDENTIAL, SECRET, AND TOP SECRET MATERIAL SHALL BE PROCESSED ON EACH EQUIPMENT COMPONENT.

5. THE BUILDING NAME OR ADDRESS **AND** ROOM NUMBER(S) WHERE THE EQUIPMENT IS AND/OR SHALL BE LOCATED.

6. **ALL** ADJACENT AREAS WITH A COMMON PERIMETER (WALLS, CEILING, FLOORS), INDICATING IF ACCESS TO THE AREAS REQUIRES ESCORT, WHO CONTROLS **THE** AREAS, AND **IF** ACCESS TO THE AREAS IS RESTRICTED, AND IF SO, TO WHAT CLASSIFICATION LEVEL.

7. IF ONE AIS COMPONENT IS TO BE INTERCONNECTED WITH ANOTHER AIS COMPONENT , A NETWORKING SCHEMATIC OR DESCRIPTION SHALL BE PROVIDED.

b. THE REQUEST SHALL BE FORWARDED THROUGH THE OSD COMPONENT SECURITY MANAGER TO THE DIRECTOR, PSD .

c. **THE** DIRECTOR , PSD , SHALL :

1. REVIEW ALL REQUESTS FOR ACCREDITATION.

2. CONDUCT SURVEYS .

(a) FOR AIS NOT MEETING SECURITY STANDARDS, IDENTIFY SECURITY SAFEGUARDS REQUIRED TO ACHIEVE **STANDARDS** . - -

(b) FOR AIS **MEETING** SECURITY STANDARDS, ISSUE MEMORANDA ACCREDITING AIS FOR PROCESSING CLASSIFIED INFORMATION.

3. MAINTAIN THE RECORD OF ALL ACCREDITED AIS .

d. THE PROJECT OFFICER SHALL :

1. ASSIST THE PSD IN CONDUCTING ACCREDITATION SURVEYS BY ANSWERING **QUESTIONS AND** PROVIDING REQUESTED DOCUMENTATION.

2. INCORPORATE IDENTIFIED SECURITY SAFEGUARDS INTO THE AIS . IF PHYSICAL SECURITY SAFEGUARDS ARE REQUIRED, A COST ANALYSIS JUSTIFYING TEE SUB-STITUTION MUST BE PROVIDED TO THE PSD .

3. PROVIDE SECURITY OR PRECAUTIONARY MEASURES TO PREVENT CLASSIFIED INFORMATION COMPROMISE DURING ALL PHASES OF **THE AIS** INSTALLATION.

4. TELEPHONICALLY NOTIFY (697-6247) THE PSD AFTER INSTALLATION IS COMPLETED AND BEFORE THE AIS BECOMES OPERATIONAL.

SECTION 3

ADMINISTRATION

17-300 <u>ADMINISTRATION RESPONSIBILITIES</u> . THE OSD COMPONENT SECURITY MANAGER SHALL :

a. v**E**ERIFY THE IDENTITY , NEED-TO-KNOW, AND SECURITY CLEARANCE FOR INDIVIDUALS **REGISTERING** AS AIS USERS.

b. BRIEF THE USERS ON THEIR RESPONSIBILITIES FOR AIS SECURITY AND **THE** INFORMATION IT CONTAINS. **THIS** BRIEFING SHALL BE CONDUCTED ANNUALLY.

c. NOTIN, IN WRITING, THE DIRECTOR, PSD, OF ANY CHANGES TO THE USE, LAYOUT , AND EQUIPMENT FROM THE ACCREDITED CONFIGURATION .

17-301   CLASSIFICATION LEVEL

a. THE CLASSIFICATION OF AN AIS IS THE HIGHER OF THE INFORMATION BEING PROCESSED (ENTERED FROM THE KEYBOARD) OR THE INFORMATION IN MEMORY OR ON MEDIA. THE CLASSIFICATION LEVEL INCREASES AS THE INFORMATION ENTERED OR STORED INCREASES IN CLASSIFICATION.   THE AIS AND **THE** MEDIA REMAIN CLASSIFIED AT THE HIGHEST LEVEL UNTIL THEY ARE DECLASSIFIED OR DESTROYED.

b. EXAMPLE .   SUPPOSE THERE IS AN AIS WITH ONE FIXED DISK AND ONE FLOPPY DRIVE .   THE SYSTEM AND ITS MEDIA ARE CLASSIFIED SECRET . A PREVIOUSLY UNCLASSI- FIED DISKETTE PLACED IN THE SYSTEM ' S FLOPPY DRIVE BECOMES CLASSIFIED SECRET. IF A TOP SECRET DISKETTE IS PLACED INTO **THE** FLOPPY DRIVE THEN THE ENTIRE AIS , INCLUDING THE FIXED DISK , BECOME CLASSIFIED TOP SECRET.

17-302   MARKING

a. THE AIS AND THE MEDIA SHALL BE MARKED BOTH INTERNALLY AND EXTERNALLY TO **INDICATE** THE CLASSIFICATION.

b.   EXTERNAL MARKING

1. **AIS** .   THE LEVEL OF CLASSIFIED PROCESSING AUTHORIZED BY THE DESIG- NATED APPROVING AUTHORITY SHALL BE POSTED CLEARLY ON OR NEAR THE AI S .   DURING CLASSIFIED PROCESSING THERE SHALL BE A PROMINENT DISPLAY TO REMIND THE USER AND **INFORM** OTHERS OF THE LEVEL OF PROCESSING IN PROGRESS.   THE USE OF A COVER SHEET IS THE RECOMMENDED METHOD OF EXTERNALLY MARKING AN AIS DURING CLASSIFIED PROCESSING.   A COVER SHEET PLACED IN THE VICINITY OF THE CATHODE RAY TUBE **(CRT)** DURING PROCESSING MAY BE USED TO COVER THE SCREEN WHEN THE OPERATOR IS NOT USING THE SYSTEM .   REMINDER : AN AIS PROCESSING CLASSIFIED INFORMATION SHALL NEVER BE LEFT UNATTENDED.

2. MEDIA.

(a) CLASSIFICATION MARKING .   MEDIA AND **ITS** CONTAINER SHALL BE MARKED PHYSICALLY IN A PROMINENT LOCATION TO REFLECT THE HIGHEST LEVEL OF CLASSIFIED INFORMATION RECORDED .   THE USE OF A CLASSIFICATION **LABEL** AFFIXED TO **THE** MEDIA IS REQUIRED.   A PLAIN WHITE LABEL WITH THE CLASSIFICATION STAMPED OR WRITTEN IS ACCEPTABLE.

(b) REGRADING AND/OR DECLASSIFICATION INSTRUCTIONS . THE REGRADING AND/OR DECLASSIFICATIONS INSTRUCTIONS ARE TO BE PLACED ON THE MEDIA IN A MANNER SIMILAR TO THE CLASSIFICATION **LABEL** .   A PLAIN WHITE LABEL WITH THE INFORMATION REQUIRED BY PARAGRAPH 4-400, ABOVE, TYPED OR PRINTED ON IT IS RECOMMENDED.

(c) OWNERSHIP INFORMATION .   AN EXTERNAL LABEL WITH THE USERS NAME, OFFICE SYMBOL , ROOM NUMBER, AND PHONE NUMBER SHALL BE AFFIXED.

(d) NOTE: ANY AND ALL LABELS USED SHOULD BE DESIGNED OF THE NON- RESIDUE VARIETY , SPECIFICALLY FOR USE IN MARKING MAGNETIC MEDIA. **RESIDUE** LEFT ON MEDIA CONTAINERS SUCH AS PARTICLES OF PAPER OR GLUE MAY INTERFERE WITH **THE** PROPER OPERATION OF READ AND/OR WRITE HEADS OR DRIVE MECHANISMS.

c. INTERNAL MARKING

1. OVERALL CLASSIFICATION . A FILE ON THE MEDIA SHALL INDICATE THE HIGHEST CLASSIFICATION OF INFORMATION STORED. THE FILE SHOULD BE CALLED "SECURITY DOC . " AN MS-DOS BASIC PROGRAM THAT CREATES SUCH A FILE IS AVAILABLE FROM PSD .

2. DIRECTORY MARKING . IF A DIRECTORY TO THE FILES (INFORMATION STORED) ON THE MEDIA EXISTS, IT SHALL BE ANNOTATED TO INDICATE THE CLASSIFICATION OF EACH FILE .

3. INDIVIDUAL FILES .

(a) DOCUMENTS. EACH DOCUMENT WITHIN THE MEDIA SHALL BE LABELED, • MARKED AND ANNOTATED IN ACCORDANCE WITH THE INSTRUCTIONS FOR THE MARKING OF CLASSIFIED DOCUMENTS . CHAPTER IV, SECTION 2, ABOVE, SHALL BE FOLLOWED.

(b) DATA FILES . DATA FILES SHALL BE MARKED MAXIMALLY WITH THE CLASSIFICATION OF RECORDS , ENTRIES , ELEMENTS ,- FIELDS , ETC .

17-303 SAFEGUARDING THE INFORMATION

GENERAL . CLASSIFIED AIS AND MEDIA NOT UNDER THE PERSONAL CONTROL AND OBSERVATION OF AN AUTHORIZED PERSON SHALL BE GUARDED OR STORED FOR THE CLASSIFI-CATION LEVEL OF THE INFORMATION.

b. AIS . THE FOLLOWING PROCEDURES SHALL BE USED TO SAFEGUARD THE AIS AND THE CLASSIFIED INFORMATION THAT IT PROCESSES:

1. BEFORE CLASSIFIED PROCESSING , SCREEN, PRINTERS, AND OTHER DEVICES SHALL BE POSITIONED AWAY FORM DOORS AND WINDOWS TO PRECLUDE CASUAL OBSERVERS FROM READING THE DISPLAY AND/OR OUTPUT .

2. DURING CLASSIFIED PROCESSING , THE AIS SHALL NOT BE LEFT UNATTENDED.

3. SCREENS , PRINTERS, AND OTHER OUTPUT DEVICES SHALL BE COVERED TO PREVENT UNAUTHORIZED VIEWING WHEN THEY ARE NOT BEING USED ACTIVELY .

4. WHEN CLASSIFIED PROCESSING IS COMPLETED THE AIS SHALL BE DECLASSI-FIED BY REMOVING THE CLASSIFIED. MEDIA AND COMPLETELY REMOVING POWER FOR AT LEAST 1 MINUTE.

c. MEDIA . CLASSIFIED MEDIA , WHEN NOT UNDER THE PERSONAL CONTROL AND OBSERVATION OF AN AUTHORIZED INDIVIDUAL, SHALL BE STORED COMMENSURATE WITH THE LEVEL OF CLASSIFIED INFORMATION ON THE MEDIA. IF THE MEDIA MAY NOT BE REMOVED FROM THE AIS , THE ENTIRE AIS SHALL BE SECURED.

17-304 DISPOSAL

a. GENERAL . CLASSIFIED AIS AND MEDIA SHALL BE PROTECTED UNTIL THE CLASSIFIED INFORMATION CONTAINED THEREON IS DISPOSED OF PROPERLY.

b. AIS DECLASSIFICATION. TO DECLASSIFY AN AIS REMOVE ALL MEDIA AND POWER OFF THE AIS FOR AT LEAST 1 MINUTE.

c. MEDIA DESTRUCTION . THESE PROCEDURES SHALL BE FOLLOWED TO DESTROY CLASSIFIED MEDIA .

1. MAGNETIC TAPE . REMOVE MAGNETIC TAPE FROM THE REEL AND PLACE THE TAPE INTO A BURN BAG (MAGNETIC TAPE SHOULD BE MIXED WITH OTHER CLASSIFIED WASTE). THE BURN BAG IS THEN DISPOSED OF WITH BURN BAGS CONTAINING CONVENTIONAL CLASSI- FIED WASTE . ONCE THE REEL **IS** DIVESTED OF LABELS AND/OR MARKINGS INDICATING **PREVIOUS** USE OR CLASSIFICATION, THE REEL MAY BE DISPOSED AS UNCLASSIFIED TRASH.

FLOPPY DISKS . PLACE DISKETTES TO BE DESTROYED INTO A BURN BAG (MAGNETIc^{2}DISKETTeS SHOULD BE **MIXED** WITH OTHER CLASSIFIED WASTE) . **THE** BURN BAG IS THEN DISPOSED OF WITH BURN BAGS CONTAINING CONVENTIONAL CLASSIFIED WASTE.

3. RIGID DISKS . DISK PLATTERS ARE PLACED INTO A BURN BAG (DO NOT MIX WITH OTHER CLASSIFIED WASTE) . THE BURN BAG IS THEN DISPOSED OF WITH OTHER CLASSIFIED WASTE BY **BRINGING** THE BAG AND ITS CONTENTS TO THE ATTENTION OF THE DRIVER OF THE TRUCK ACCEPTING CLASSIFIED BURN BAGS. REMOVING **THE** PLATTERS FROM A SEALED DISK DRIVE (WINCHESTER TECHNOLOGY) MAY POSE CONTRACTUAL AND/OR OTHER PROBLEMS ; THEREFORE, THE DESTRUCTION OF **THE** ENTIRE UNIT MAY BE MOST PRACTICAL. ONCE THE DISK CONTAINER IS DIVESTED OF THE DISK PLATTERS AND LABELS AND/OR MARKINGS INDICATING PREVIOUS USE OR CLASSIFICATION, THEN **THE** CONTAINER MAY BE DISPOSED OF AS UNCLASSIFIED TRASH.

17-305 AUDIT TRAIL

THERE SHALL BE A DOCUMENTED HISTORY OF AIS USE. IF THE AIS IS NOT SELF DOCUMENTING , A MANUAL LOG, SHALL BE USED. THE LOG SHALL RECORD THE USER, DATE, AND TIME OF USE AND ACTIVITY. THE LOG SHALL BE RETAINED FOR 1 YEAR. AN EXAMPLE OF SUCH A LOG IS AS FOLLOWS:

USER	DATE	STRT	STOP	ACTIVITY
JOHN DOE	26AUG86	0745	0915	WORD PROC , SPREAD SHEETS